



| FORM PTO - 1449 | | | | ATTORNEY DOCKET NO.: ASC-044 | | | |
|--|-----|--------------------|------------|---|-------|--------------|-------------------------------|
| SUPPLEMENTAL INFORMATION DISCLOSURE STATEMENT | | | | APPLICANT(S): Fitzgerald et al. | | | |
| | | | | SERIAL NO.: 09/884,172 | | | |
| | | | | FILING DATE: June 19, 2001 GROUP: 2822 | | | |
| U.S. PATENT DOCUMENTS | | | | | | | |
| EXAM. INIT. | | DOCUMENT NUMBER | DATE | NAME | CLASS | SUB CLASS | FILING DATE IF APPROPRIATE |
| E | A1 | US 2002/0140031 A1 | 10/03/02 | Rim | 257 | 347 | 03/31/01 |
| E | A2 | US 2002/0125497 A1 | 09/12/02 | Fitzgerald | 257 | 191 | 07/16/01 |
| E | A3 | US 2002/0125471 A1 | 09/12/02 | Fitzgerald et al. | 257 | 19 | 12/04/01 |
| E | A4 | US 2002/0100942 A1 | 08/01/01 | Fitzgerald et al. | 257 | 369 | 06/19/01 |
| E | A5 | US 2001/0003364 A1 | 06/14/01 | Sugawara et al. | 257 | 192 | 12/08/00 |
| E | A6 | 6,407,406 | 06/18/2002 | Tezuka | 257 | 18 | 06/29/1999 |
| E | A7 | 6,399,970 B2 | 06/04/2002 | Kubo et al. | 257 | 194 | 09/16/97 |
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| E | A9 | 6,339,232 | 01/15/02 | Takagi | 257 | 192 | 09/20/99 |
| E | A10 | 6,316,301 | 11/13/01 | Kant | 438 | 197 | 03/08/00 |
| E | A11 | 6,291,321 | 08/18/01 | Fitzgerald | 438 | 494 | 03/09/99 |
| E | A12 | 6,266,278 | 07/24/01 | Harari et al. | 365 | 185.18 | 08/08/00 |
| E | A13 | 6,251,755 | 06/26/01 | Furukawa et al. | 438 | 510 | 04/22/99 |
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| E | A15 | 6,207,977 | 03/27/01 | Augusto | 257 | 192 | 10/21/98 |
| E | A16 | 6,204,529 | 03/20/01 | Lung et al. | 257 | 314 | 08/27/99 |
| E | A17 | 6,143,636 | 11/07/00 | Forbes et al. | 438 | 587 | 08/20/98 |
| E | A18 | 6,130,453 | 10/10/00 | Mei et al. | 257 | 315 | 01/04/99 |
| E | A19 | 6,117,750 | 09/12/00 | Bensahel et al. | 438 | 478 | 12/21/98 |
| E | A20 | 6,111,267 | 08/29/00 | Fishcher et al. | | | 05/04/98 |
| E | A21 | 6,107,653 | 08/22/2000 | Fitzgerald | 257 | 191 | 06/23/1998 |
| E | A22 | 6,096,590 | 08/01/00 | Chan et al. | 438 | 233 | 06/30/98 |
| E | A23 | 6,058,044 | 05/02/00 | Sugiura et al. | 365 | 185.17 | 12/09/98 |
| EXAMINER Christopher L. Llin | | | | DATE CONSIDERED 6/2/03 | | | |

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SUPPLEMENTAL INFORMATION
DISCLOSURE STATEMENT

ATTORNEY DOCKET NO.: ASC-044

APPLICANT(S): Fitzgerald et al.

SERIAL NO.: 09/884,172

FILING DATE: June 19, 2001

GROUP: ²⁸¹²2822

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|----------|-----|-----------|------------|------------------|-----|--------|------------|
| <u>E</u> | A24 | 5,998,807 | 12/07/99 | Lustig et al. | 257 | 66 | 09/09/97 |
| <u>E</u> | A25 | 5,963,817 | 10/05/99 | Chu et al. | 438 | 410 | 10/16/97 |
| <u>C</u> | A26 | 5,912,479 | 06/15/99 | Mori et al. | 257 | 192 | 07/25/97 |
| <u>E</u> | A27 | 5,891,769 | 04/06/99 | Liaw et al. | 438 | 167 | 02/27/98 |
| <u>E</u> | A28 | 5,847,419 | 12/08/98 | Imai et al. | 257 | 192 | 09/16/97 |
| <u>E</u> | A29 | 5,792,679 | 08/11/98 | Nakato | 438 | 162 | 08/30/93 |
| <u>E</u> | A30 | 5,786,612 | 07/28/98 | Otani et al. | 257 | 316 | 04/16/96 |
| <u>E</u> | A31 | 5,739,567 | 04/14/98 | Wong | 257 | 316 | 11/08/94 |
| <u>E</u> | A32 | 5,698,869 | 12/16/97 | Yoshim et al. | 257 | 192 | 09/13/95 |
| <u>E</u> | A33 | 5,683,934 | 11/04/97 | Candelaria | 437 | 134 | 05/03/96 |
| <u>E</u> | A34 | 5,617,351 | 04/01/97 | Bertin et al. | 365 | 185.05 | 06/05/95 |
| <u>E</u> | A35 | 5,596,527 | 01/21/97 | Tomioka et al. | 365 | 185.2 | 02/13/95 |
| <u>E</u> | A36 | 5,523,592 | 06/04/96 | Nakagawa et al. | 257 | 96 | 02/01/94 |
| <u>E</u> | A37 | 5,523,243 | 06/04/96 | Mohammad | 437 | 31 | 06/08/94 |
| <u>E</u> | A38 | 5,479,033 | 12/26/95 | Baca et al. | 257 | 192 | 05/27/94 |
| <u>E</u> | A39 | 5,461,250 | 10/24/95 | Burghartz et al. | 257 | 347 | 08/10/92 |
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| <u>E</u> | A41 | 5,426,316 | 06/20/95 | Mohammad | 257 | 197 | 06/08/94 |
| <u>E</u> | A42 | 5,316,958 | 05/31/94 | Meyerson | 437 | 31 | 05/31/90 |
| <u>E</u> | A43 | 5,291,439 | 03/01/94 | Kauffmann et al. | 365 | 185 | 09/12/91 |
| <u>E</u> | A44 | 5,155,571 | 10/13/1992 | Wang et al. | 357 | 47 | 08/06/1990 |
| <u>E</u> | A45 | 4,990,979 | 02/05/91 | Otto | 357 | 23.5 | 04/27/89 |

FOREIGN PATENT DOCUMENTS

| EXAM. INIT. | | DOCUMENT NUMBER | DATE | COUN TRY CODE | CLASS | SUB CLASS | FILING DATE | ABSTR ACT ONLY | ENGLISH LANG (Y/N) |
|-------------------------------------|----|--------------------|----------|---------------------|------------------------|--------------|----------------|----------------------|------------------------|
| <u>E</u> | B1 | 41 01 167 A1 | 07/23/92 | DE | | | | No | Yes (abstract only) |
| EXAMINER <i>Christopher L. Lott</i> | | | | | DATE CONSIDERED 6/2/03 | | | | |

















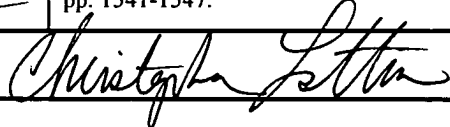


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|---|-----|-----------------|------------|-------------------------------|--|-------------------------------------|-----|--------------------------|--|
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| | | | | | SERIAL NO.: 09/884,172 | | | | |
| | | | | | FILING DATE: June 19, 2001 GROUP: ²⁸²² 2822 | | | | |
| <input checked="" type="checkbox"/> | B2 | 1 174 928 A1 | 01/23/02 | EP | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | No | Yes | |
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| <input checked="" type="checkbox"/> | B17 | WO 01/99169 A2 | 12/27/01 | PCT | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | No | Yes | |
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| <input checked="" type="checkbox"/> | B19 | WO 02/13262 A2 | 02/14/02 | PCT | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | No | Yes | |
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| <input checked="" type="checkbox"/> | B21 | WO 02/071488 A1 | 09/12/02 | PCT | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | No | Yes | |
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| <input checked="" type="checkbox"/> | B23 | WO 02/071495 A1 | 09/12/02 | PCT | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | No | Yes | |
| <input checked="" type="checkbox"/> | B24 | WO 99/53539 | 10/21/99 | PCT | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | No | Yes | |
| EXAMINER <i>Christopher J. Fathin</i> | | | | DATE CONSIDERED <i>6/2/03</i> | | | | | |



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| FORM PTO - 1449 | | ATTORNEY DOCKET NO.: ASC-044 | |
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| | | SERIAL NO.: 09/884,172 | |
| | | FILING DATE: June 19, 2001 GROUP: 2822 ²⁵¹² | |
| OTHER ART, JOURNAL ARTICLES, ETC. | | | |
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| E | C1 | "2 Bit/Cell EEPROM Cell Using Band to Band Tunneling for Data Read-Out," <u>IBM Technical Disclosure Bulletin</u> , Vol. 35, No. 4B (September 1992) pp. 136-140. | |
| E | C2 | Armstrong et al., "Design of Si/SiGe Heterojunction Complementary Metal-Oxide-Semiconductor Transistors," <u>IEDM Technical Digest</u> (1995 International Electron Devices Meeting) pp. 761-764. | |
| E | C3 | Barradas et al., "RBS analysis of MBE-grown SiGe/(001) Si heterostructures with thin, high Ge content SiGe channels for HMOS transistors," <u>Modern Physics Letters B</u> (2001) (abstract). | |
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| E | C6 | Canaperi et al., "Preparation of a relaxed Si-Ge layer on an insulator in fabricating high-speed semiconductor devices with strained epitaxial films," <u>International Business Machines Corporation</u> , USA (2002) (abstract). | |
| E | C7 | Carlin et al., "High Efficiency GaAs-on-Si Solar Cells with High V_{oc} Using Graded GeSi Buffers," <u>IEEE</u> (2000) pp. 1006-1011 | |
| E | C8 | Cheng et al., "Electron Mobility Enhancement in Strained-Si n-MOSFETs Fabricated on SiGe-on-Insulator (SGOI) Substrates," <u>IEEE Electron Device Letters</u> , Vol. 22, No. 7 (July 2001) pp. 321-323. | |
| E | C9 | Cheng et al., "Relaxed Silicon-Germanium on Insulator Substrate by Layer Transfer," <u>Journal of Electronic Materials</u> , Vol. 30, No. 12 (2001) pp. L37-L39. | |
| E | C10 | Cullis et al., "Growth ripples upon strained SiGe epitaxial layers on Si and misfit dislocation interactions," <u>Journal of Vacuum Science and Technology A</u> , Vol. 12, No. 4 (July/August 1994) pp. 1924-1931. | |
| E | C11 | Currie et al., "Carrier mobilities and process stability of strained S in- and p-MOSFETs on SiGe virtual substrates," <u>J. Vac. Sci. Technol. B</u> , Vol. 19, No. 6 (Nov/Dec 2001) pp. 2268-2279. | |
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| EXAMINER | Christopher Little | | DATE CONSIDERED 6/2/03 |



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|  | C29 | Koester et al., "Extremely High Transconductance Ge/Si _{0.4} Ge _{0.6} p-MODFET's Grown by UHV-CVD," <u>IEEE Electron Device Letters</u> , Vol. 21, No. 3 (March 2000) pp. 110-112. |
|  | C30 | Konig et al., "Design Rules for n-type SiGe Hetero FETs," <u>Solid-State Electronics</u> , Vol. 41, No. 10 (1997) pp. 1541-1547. |
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| | C31 | König et al., "p-Type Ge-Channel MODFET's with High Transconductance Grown on Si Substrates," <u>IEEE Electron Device Letters</u> , Vol. 14, No. 4 (April 1993) pp. 205-207. |
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| EXAMINER | | DATE CONSIDERED 6/13/03 |



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| | | SERIAL NO.: 09/884,172 |
| | | FILING DATE: June 19, 2001 GROUP: ²⁸¹² 2822 |
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